

Please type a plus sign (+) inside the box

UTILITY

PATENT APPLICATION  
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No.

HRT-288

First Inventor

James R Gannoe et al.

Title

APPARATUS AND METHODS FOR CARDIAC SURGERY

Express Mail Label No.

EL691443210 US

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents.

ADDRESS TO: Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
3. ☒ Specification [Total Pages 33]  
(Preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 31]
5. Oath or Declaration [Total Pages 4]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
  - i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement  
(IDS)/PTO-1449 ☐ Copies of IDS
- Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certifications under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other

18. ☒ If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:
  - ☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No.: 09/492,558, filed January 27, 2000.

Prior application information: Examiner P. Philogene Group Art Unit: 3732

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

- ☒ Customer Number or Bar Code Label 000027777 or ☐ Correspondence Address below

Name: Philip S. Johnson, Esq.

Address: Johnson & Johnson  
One Johnson & Johnson Plaza  
New Brunswick, NJ 08933-7003 USA

20. TELEPHONE CONTACT

Please direct all telephone calls or telefaxes to Brian S. Tomko at:

Telephone: (732) 524-1239 Fax: (732) 524-2808

21. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME: E. Richard Skula Reg. No. 31061

SIGNATURE



DATE

November 6, 2001

EL691443210US

**FEE TRANSMITTAL***Complete if Known*

Application Number	
Filing Date	November 6, 2001
First Named Inventor	Gannoe et al.
Group Art Unit	3732
Examiner Name	P. Philogene
Attorney Docket Number	HRT-288

**FEE CALCULATION**

## CLAIMS AS FILED

(1)	(2)	(3)	(4)	(5)
FOR:	NUMBER FILED	NUMBER EXTRA	RATE	BASIC FEE \$710.00
TOTAL CLAIMS	29 - 20 =	9	x 18.00	\$ 162.00
INDEPENDENT CLAIMS	7 - 3 =	4	x 80.00	\$ 320.00
MULTIPLE DEPENDENT CLAIMS	<input type="checkbox"/>	N/A	\$270.00	
			TOTAL FEES	\$1,192.00

**METHOD OF PAYMENT**

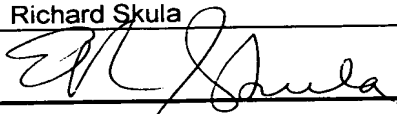
- ☒ Please charge Deposit Account No. 10-0750/HRT288/ERS in the amount of \$1,192.00.  
Three copies of this sheet are enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required in connection with the filing of this communication, or credit any overpayment, to Account No. 10-0750/HRT288/ERS. Three copies of this sheet are enclosed.

**SUBMITTED BY:***Complete (if applicable)*Typed or  
Printed Name

E. Richard Skula

Reg. No. 31,061

Signature



Date: 11/06/01

**Deposit Account  
No. 10-0750**0999175-10601  
TOTAL \$27650

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: James R. Gannoe et al.

For : APPARATUS AND METHODS FOR CARDIAC SURGERY

Express Mail Certificate

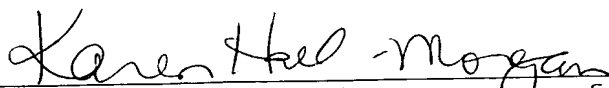
"Express Mail" mailing number: EL691443210 US

Date of Deposit: November 6, 2001

I hereby certify that this complete Divisional Application, including specification pages, claims, informal drawings, a Preliminary Amendment and a copy of the signed Declaration and Power of Attorney, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Karen Hall-Morgan

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)

09993175 110601  
"EXPRESS MAIL"